

U.S. Department of Justice

Washington, DC 20530

**Supplemental Statement****Pursuant to the Foreign Agents Registration Act of 1938, as amended**For Six Month Period Ending Nov. 30, 2015

(Insert date)

**I - REGISTRANT**

1. (a) Name of Registrant

(b) Registration No.

Scottish Enterprise

3013

(c) Business Address(es) of Registrant  
See List Attached

2. Has there been a change in the information previously furnished in connection with the following?

(a) If an individual:

(1) Residence address(es) Yes ☐ No ☐(2) Citizenship Yes ☐ No ☐(3) Occupation Yes ☐ No ☐

(b) If an organization:

(1) Name Yes ☐ No ☒(2) Ownership or control Yes ☐ No ☒(3) Branch offices Yes ☐ No ☒

(c) Explain fully all changes, if any, indicated in Items (a) and (b) above.

**IF THE REGISTRANT IS AN INDIVIDUAL, OMIT RESPONSE TO ITEMS 3, 4, AND 5(a).**3. If you have previously filed Exhibit C<sup>1</sup>, state whether any changes therein have occurred during this 6 month reporting period.Yes ☐ No ☒If yes, have you filed an amendment to the Exhibit C? Yes ☐ No ☐

If no, please attach the required amendment.

<sup>1</sup> The Exhibit C, for which no printed form is provided, consists of a true copy of the charter, articles of incorporation, association, and by laws of a registrant that is an organization. (A waiver of the requirement to file an Exhibit C may be obtained for good cause upon written application to the Assistant Attorney General, National Security Division, U.S. Department of Justice, Washington, DC 20530.)

4. (a) Have any persons ceased acting as partners, officers, directors or similar officials of the registrant during this 6 month reporting period?

Yes ☐No ☒

If yes, furnish the following information:

Name

Position

Date Connection Ended

(b) Have any persons become partners, officers, directors or similar officials during this 6 month reporting period?

Yes ☐No ☒

If yes, furnish the following information:

Name

Residence Address

Citizenship

Position

Date Assumed

5. (a) Has any person named in Item 4(b) rendered services directly in furtherance of the interests of any foreign principal?

Yes ☐No ☒

If yes, identify each such person and describe the service rendered.

(b) During this six month reporting period, has the registrant hired as employees or in any other capacity, any persons who rendered or will render services to the registrant directly in furtherance of the interests of any foreign principal(s) in other than a clerical or secretarial, or in a related or similar capacity? Yes ☐ No ☒

Name

Residence Address

Citizenship

Position

Date Assumed

(c) Have any employees or individuals, who have filed a short form registration statement, terminated their employment or connection with the registrant during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name

Position or Connection

Date Terminated

(d) Have any employees or individuals, who have filed a short form registration statement, terminated their connection with any foreign principal during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name

Position or Connection

Foreign Principal

Date Terminated

6. Have short form registration statements been filed by all of the persons named in Items 5(a) and 5(b) of the supplemental statement?

Yes ☐No ☒

If no, list names of persons who have not filed the required statement.

## II - FOREIGN PRINCIPAL

7. Has your connection with any foreign principal ended during this 6 month reporting period? Yes ☐ No ☒  
If yes, furnish the following information:

Foreign Principal

Date of Termination

8. Have you acquired any new foreign principal(s)<sup>2</sup> during this 6 month reporting period? Yes ☐ No ☒  
If yes, furnish the following information:

Name and Address of Foreign Principal(s)

Date Acquired

9. In addition to those named in Items 7 and 8, if any, list foreign principal(s)<sup>2</sup> whom you continued to represent during the 6 month reporting period.

Scottish Enterprise  
150 Broomielaw, 5 Atlantic Quay  
Glasgow, Scotland  
G2 8LU

10. (a) Have you filed exhibits for the newly acquired foreign principal(s), if any, listed in Item 8?

Exhibit A<sup>3</sup> Yes ☐ No ☐Exhibit B<sup>4</sup> Yes ☐ No ☐

If no, please attach the required exhibit.

- (b) Have there been any changes in the Exhibits A and B previously filed for any foreign principal whom you represented during this six month period? Yes ☐ No ☒

If yes, have you filed an amendment to these exhibits? Yes ☐ No ☐

If no, please attach the required amendment.

<sup>2</sup> The term "foreign principal" includes, in addition to those defined in Section 1(b) of the Act, an individual organization any of whose activities are directly or indirectly supervised, directed, controlled, financed, or subsidized in whole or in major part by a foreign government, foreign political party, foreign organization or foreign individual. (See Rule 100(a) (9)). A registrant who represents more than one foreign principal is required to list in the statements he files under the Act only those principals for whom he is not entitled to claim exemption under Section 3 of the Act. (See Rule 208.)

<sup>3</sup> The Exhibit A, which is filed on Form NSD-3, sets forth the information required to be disclosed concerning each foreign principal.

<sup>4</sup> The Exhibit B, which is filed on Form NSD-4, sets forth the information concerning the agreement or understanding between the registrant and the foreign principal.

**III - ACTIVITIES**

11. During this 6 month reporting period, have you engaged in any activities for or rendered any services to any foreign principal named in Items 7, 8, or 9 of this statement? Yes ☒ No ☐

If yes, identify each foreign principal and describe in full detail your activities and services:

Scottish Enterprise carries out activities through Scottish Development International and SCTR, Limited. The activities of Scottish Development International consist of publicizing Scotland as a region of U.S. commercial and industrial development, seeking potential U.S. investors and developing links between Scottish Enterprise and such investors.

The activities of SCTR, Limited consist in publicizing and assisting Scottish companies with opening in the United States.

12. During this 6 month reporting period, have you on behalf of any foreign principal engaged in political activity<sup>5</sup> as defined below? Yes ☒ No ☐

If yes, identify each such foreign principal and describe in full detail all such political activity, indicating, among other things, the relations, interests and policies sought to be influenced and the means employed to achieve this purpose. If the registrant arranged, sponsored or delivered speeches, lectures or radio and TV broadcasts, give details as to dates, places of delivery, names of speakers and subject matter.

Foreign Principal - Scottish Enterprise

Political activity - Promotion of business development in Scotland, and export trade from Scotland on behalf of the British government to the United States.

13. In addition to the above described activities, if any, have you engaged in activity on your own behalf which benefits your foreign principal(s)? Yes ☐ No ☒

If yes, describe fully.

<sup>5</sup> "Political activity," as defined in Section 1(o) of the Act, means any activity that the person engaging in believes will, or that the person intends to, in any way influence any agency or official of the Government of the United States or any section of the public within the United States with reference to formulating, adopting or changing the domestic or foreign policies of the United States or with reference to political or public interests, policies, or relations of a government of a foreign country or a foreign political party.

## IV - FINANCIAL INFORMATION

## 14. (a) RECEIPTS-MONIES

During this 6 month reporting period, have you received from any foreign principal named in Items 7, 8, or 9 of this statement, or from any other source, for or in the interests of any such foreign principal, any contributions, income or money either as compensation or otherwise? Yes ☒ No ☐

If no, explain why.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies.<sup>6</sup>

Date	From Whom	Purpose	Amount
Various	Various	See attached schedules	\$2,353,619.32

\$2,353,619.32

Total

## (b) RECEIPTS - FUNDRAISING CAMPAIGN

During this 6 month reporting period, have you received, as part of a fundraising campaign<sup>7</sup>, any money on behalf of any foreign principal named in Items 7, 8, or 9 of this statement? Yes ☐ No ☒

If yes, have you filed an Exhibit D<sup>8</sup> to your registration? Yes ☐ No ☐

If yes, indicate the date the Exhibit D was filed. Date \_\_\_\_\_

## (c) RECEIPTS-THINGS OF VALUE

During this 6 month reporting period, have you received any thing of value<sup>9</sup> other than money from any foreign principal named in Items 7, 8, or 9 of this statement, or from any other source, for or in the interests of any such foreign principal?

Yes ☐ No ☒

If yes, furnish the following information:

Foreign Principal	Date Received	Thing of Value	Purpose
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6, 7 A registrant is required to file an Exhibit D if he collects or receives contributions, loans, moneys, or other things of value for a foreign principal, as part of a fundraising campaign. (See Rule 201(e)).

8 An Exhibit D, for which no printed form is provided, sets forth an account of money collected or received as a result of a fundraising campaign and transmitted for a foreign principal.

9 Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks," and the like.

**15. (a) DISBURSEMENTS-MONIES**

During this 6 month reporting period, have you

(1) disbursed or expended monies in connection with activity on behalf of any foreign principal named in Items 7, 8, or 9 of this statement? Yes ☒ No ☐(2) transmitted monies to any such foreign principal? Yes ☒ No ☐

If no, explain in full detail why there were no disbursements made on behalf of any foreign principal.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies, including monies transmitted, if any, to each foreign principal.

Date	To Whom	Purpose	Amount
Various	Various	Expenditures - see attached schedule	\$1,618,691.28

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**\$1,618,691.28****Total**

**(b) DISBURSEMENTS-THINGS OF VALUE**

During this 6 month reporting period, have you disposed of anything of value<sup>10</sup> other than money in furtherance of or in connection with activities on behalf of any foreign principal named in Items 7, 8, or 9 of this statement?

Yes ☐ No ☒

If yes, furnish the following information:

Date	Recipient	Foreign Principal	Thing of Value	Purpose
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**(c) DISBURSEMENTS-POLITICAL CONTRIBUTIONS**

During this 6 month reporting period, have you from your own funds and on your own behalf either directly or through any other person, made any contributions of money or other things of value<sup>11</sup> in connection with an election to any political office, or in connection with any primary election, convention, or caucus held to select candidates for political office?

Yes ☐ No ☒

If yes, furnish the following information:

Date	Amount or Thing of Value	Political Organization or Candidate	Location of Event
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<sup>10, 11</sup> Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks," and the like.

## V - INFORMATIONAL MATERIALS

16. (a) During this 6 month reporting period, did you prepare, disseminate or cause to be disseminated any informational materials?<sup>12</sup>  
 Yes ☒ No ☐

If Yes, go to Item 17.

- (b) If you answered No to Item 16(a), do you disseminate any material in connection with your registration?  
 Yes ☐ No ☐

If Yes, please forward the materials disseminated during the six month period to the Registration Unit for review.

17. Identify each such foreign principal.  
 Scottish Enterprise, Glasgow, Scotland

18. During this 6 month reporting period, has any foreign principal established a budget or allocated a specified sum of money to finance your activities in preparing or disseminating informational materials? Yes ☒ No ☐  
 If yes, identify each such foreign principal, specify amount, and indicate for what period of time.  
 See schedule of receipts as identified on page 5, question 14(a).

19. During this 6 month reporting period, did your activities in preparing, disseminating or causing the dissemination of informational materials include the use of any of the following:

- ☒ Radio or TV broadcasts ☒ Magazine or newspaper ☐ Motion picture films ☒ Letters or telegrams  
☒ Advertising campaigns ☒ Press releases ☒ Pamphlets or other publications ☒ Lectures or speeches  
☒ Other (specify) Presentations to groups of executives

## Electronic Communications

- ☒ Email  
☒ Website URL(s): www.sdi.co.uk  
☐ Social media websites URL(s): \_\_\_\_\_  
☐ Other (specify) \_\_\_\_\_

20. During this 6 month reporting period, did you disseminate or cause to be disseminated informational materials among any of the following groups:

- ☐ Public officials ☒ Newspapers ☐ Libraries  
☐ Legislators ☒ Editors ☐ Educational institutions  
☒ Government agencies ☒ Civic groups or associations ☐ Nationality groups  
☒ Other (specify) Industry groups and executives

21. What language was used in the informational materials:

- ☒ English ☐ Other (specify) \_\_\_\_\_

22. Did you file with the Registration Unit, U.S. Department of Justice a copy of each item of such informational materials disseminated or caused to be disseminated during this 6 month reporting period? Yes ☒ No ☐

23. Did you label each item of such informational materials with the statement required by Section 4(b) of the Act?  
 Yes ☒ No ☐

<sup>12</sup> The term informational materials includes any oral, visual, graphic, written, or pictorial information or matter of any kind, including that published by means of advertising, books, periodicals, newspapers, lectures, broadcasts, motion pictures, or any means or instrumentality of interstate or foreign commerce or otherwise. Informational materials disseminated by an agent of a foreign principal as part of an activity in itself exempt from registration, or an activity which by itself would not require registration, need not be filed pursuant to Section 4(b) of the Act.



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**VI - EXECUTION**

In accordance with 28 U.S.C. § 1746, the undersigned swear(s) or affirm(s) under penalty of perjury that he/she has (they have) read the information set forth in this registration statement and the attached exhibits and that he/she is (they are) familiar with the contents thereof and that such contents are in their entirety true and accurate to the best of his/her (their) knowledge and belief, except that the undersigned make(s) no representation as to truth or accuracy of the information contained in the attached Short Form Registration Statement(s), if any; insofar as such information is not within his/her (their) personal knowledge.

(Date of signature)

(Print or type name under each signature or provide electronic signature<sup>13</sup>)

December 22, 2015

/s/ Kathleen B. Gallagher Tepfer

eSigned

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<sup>13</sup> This statement shall be signed by the individual agent, if the registrant is an individual, or by a majority of those partners, officers, directors or persons performing similar functions, if the registrant is an organization, except that the organization can, by power of attorney, authorize one or more individuals to execute this statement on its behalf.

SCTR LIMITED  
and  
SCOTTISH DEVELOPMENT INTERNATIONAL

FARA Report - Financial Information - IV

June 1, 2015 to November 30, 2015

Registration No. 3013

Page 5, #14 (a) Receipts - Monies

Boston, MA

<u>Dates</u>	<u>from Who</u>	<u>Purpose</u>		
Various	Various Refunds	Refunds of Expenses	\$	184.53
June 03	Scottish Enterprise	Expenditures		50,000.00
June 17	Scottish Enterprise	Expenditures		50,000.00
July 09	Scottish Enterprise	Expenditures		10,937.48
July 22	Scottish Enterprise	Expenditures		100,000.00
July 24	Scottish Enterprise	Expenditures		3,373.34
Aug 06	Scottish Enterprise	Expenditures		10,976.84
Aug 14	Scottish Enterprise	Expenditures		100,000.00
Sept 02	Scottish Enterprise	Expenditures		15,314.21
Sept 30	Scottish Enterprise	Expenditures		16,017.48
Oct 15	Scottish Enterprise	Expenditures		50,000.00
Oct 29	Scottish Enterprise	Expenditures		15,939.38
Nov 03	Scottish Enterprise	Expenditures		70,000.00
Nov 16	Scottish Enterprise	Expenditures		100,000.00
			\$	<u>592,743.26</u>

Total receipts for Scottish Development International      \$ 592,743.26

<u>Dates</u>	<u>From Whom</u>	<u>Purpose</u>		
Various	Various	Off. Svcs & Refunds	\$	60,876.06
June 03	Scottish Enterprise	Expenditures		200,000.00
June 17	Scottish Enterprise	Expenditures		150,000.00
July 15	Scottish Enterprise	Expenditures		100,000.00
July 22	Scottish Enterprise	Expenditures		200,000.00
Aug 14	Scottish Enterprise	Expenditures		200,000.00
Aug 14	Scottish Enterprise	Expenditures		50,000.00
Sept 15	Scottish Enterprise	Expenditures		200,000.00
Oct 07	Scottish Enterprise	Expenditures		150,000.00
Oct 15	Scottish Enterprise	Expenditures		150,000.00
Nov 03	Scottish Enterprise	Expenditures		100,000.00
Nov 16	Scottish Enterprise	Expenditures		200,000.00
			\$	<u>1,760,876.06</u>

Total receipt for SCTR Limited      \$ 1,760,876.06

Total receipts      \$ 2,353,619.32

SCTR LIMITED  
AND  
SCOTTISH DEVELOPMENT INTERNATIONAL  
CASH DISBURSEMENTS  
JUNE 1, 2015 TO NOVEMBER 30, 2015  
REGISTRATION NO. 3013

DESCRIPTION	SCTR	SDI	TOTAL
U.K. TRAVEL	16,587.04	1,340.56	17,927.60
NON U.K. TRAVEL	(2,461.36)	0.00	(2,461.36)
U.K. SUBSISTENCE	12,012.12	(139.57)	11,872.55
NON U.K. SUBSISTENCE	1,795.64	414.21	2,209.85
RENT	310,022.41	0.00	310,022.41
INSURANCE	230,308.20	(2,365.24)	227,942.96
PRINTING & STATIONERY	2,415.11	0.00	2,415.11
TELEPHONE & TELEGRAPH	17,800.39	0.00	17,800.39
POSTAGE	1,723.01	0.00	1,723.01
GENERAL EXPENSE	6,264.01	692.93	6,956.94
SUBSCRIPTIONS	1,650.00	0.00	1,650.00
TAXES	3,547.88	0.00	3,547.88
HOSPITALITY - NON U.K.	728.59	(133.38)	595.21
CATERING	2,241.44	0.00	2,241.44
PROFESSIONAL FEES	36,287.69	0.00	36,287.69
LOCAL SALARIES	943,459.64	0.00	943,459.64
EQUIPMENT PURCHASE	27,936.15	0.00	27,936.15
HOUSING EXPENSE	0.00	0.00	0.00
MARKETING	0.00	0.00	0.00
FOREIGN EXCHANGE LOSS (GAIN)	220.00	0.00	220.00
STAFF DEVELOPMENT	1,995.00	0.00	1,995.00
UTILITIES	0.00	0.00	0.00
SPECIAL EVENTS	4,271.33	0.00	4,271.33
MAINTENANCE & REPAIRS	77.48	0.00	77.48
<b>TOTAL</b>	<b>1,618,881.77</b>	<b>(190.49)</b>	<b>1,618,691.28</b>

Scottish Enterprise  
June 1, 2015 to November 30, 2015  
Registration No. 3013

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No public relations consultant's were used.

No advertising firms were used.

During this period the organization made presentations or had exhibits at the following:

NYU Hospitality Conference  
Stem Cells on the Mesa

June 06-10, 2015  
Oct 07-09, 2015

New York, NY  
LaJolla, CA

Scottish Enterprise  
FARA Report, Supplement to Part III 11, Activities  
November 30, 2015

These goals have been pursued by branches of Scottish Enterprise located in the United States by means of mail, telephone contacts, seminars, exhibitions, advertising in U.S. publications and electronic media and personal visits by officers of the registrant with representatives of U.S. business organizations. They have also been pursued by providing assistance to Scottish companies to begin operations in the U.S. by providing temporary office space and services.

Scottish Enterprise  
FARA Report, Business Addresses

Scottish Development International

One Boston Place (New Address)  
Suite 3875  
Boston, MA 02108

2570 North First Street  
Suite 440  
San Jose, CA 95131

Highland Oaks, Suite 130  
1020 31<sup>st</sup> Street  
Downers Grove, IL 60515

10375 Richmond Avenue, Ste 1300  
Houston, TX 77042

5 Penn Plaza  
19<sup>th</sup> Floor  
New York, NY 10001

SCTR Limited offices:

Operations are now run out of the above offices.

Scottish Enterprise  
FARA Report  
Registration 3013  
Rider

Scottish Enterprise is being represented in the United States by 2 divisions. The 2 divisions are being maintained for accounting purposes. They operate out of the same offices.